

Application Serial No.: 09/982,838
Attorney Docket No.: 089070-0311376



Customer No.: 00909

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE PATENT APPLICATION OF: Joseph G. GATTO
SERIAL NO.: 09/982,838
ATTORNEY DOCKET NO: 089070-0311376 (23449-020)
FILING DATE: October 22, 2001
ART UNIT: 3624
EXAMINER: NARAYANSWAMY SUBRAMANIAN
FOR: SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

RESUBMISSION OF INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA. 22313-1450

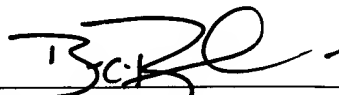
Dear Sir:

An Information Disclosure Statement (I.D.S.) was filed by Applicant on February 13, 2003. To date, however, Applicant has yet to receive a copy of the Form PTO-1449 signed by the Examiner indicating that this I.D.S. was considered. Accordingly, Applicant has provided herewith a copy of the I.D.S. submitted February 13, 2003 together with a stamped PTO Acknowledgement Receipt. It is respectfully requested the Examiner return an initialed and signed copy of the Form PTO-1449 for this submission.

Date: September 5, 2006

Respectfully submitted,

By:



Bradford C. Blaise
Registration No. 47,429

Customer No. 00909

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Attorney Docket No.: 23449-020

Inventor: Joseph G. GATTO

Serial No.: 09/982,838

Filing Date: October 22, 2001

Title: SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

Documents Filed: 1. Information Disclosure Statement (IDS)
2. Form PTO-1449 (seven pages)
3. Eighty-seven (87) references



Sender's Initials: BCB/slt

Date: February 13, 2003



29315

PATENT & TRADEMARK OFFICE

PATENT

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In re Patent Application of:

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Serial No.: 09/982,838

Filed: October 22, 2001

For: SECURITY ANALYST ESTIMATES
PERFORMANCE VIEWING SYSTEM AND
METHOD

Docket No.: 23449-020

Confirmation No.: 8479

Group Art Unit: 3624

Examiner: Kelly Scaggs Campen

INFORMATION DISCLOSURE STATEMENT (IDS)

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby makes of record in the above-identified application the documents listed on the attached Form PTO-1449.

Applicant has listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated. Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not an issue.

Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No certification or fee is required. 37 C.F.R. 1.97(b).


An electronic Information Disclosure Statement is being filed electronically on even date.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449.

Respectfully submitted,

MINTZ, LEVIN, COHN, FERRIS, GLOVSKY
and POPEO, P.C.

By


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Dated: February 13, 2003



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	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
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	1A	2000090150A	03/31/2000	JAPAN				
	1B	WO 01/80124 A2	10/25/2001	International				

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	1C	BROWN <i>et al.</i> , "Composite Analyst Earnings Forecasts: The Next Generation", <u>Journal of Business Forecasting</u> , Summer 1990, Vol. 9, Issue 2.
	1D	HO <i>et al.</i> , "Market Reactions to Messages from Brokerage Ratings Systems", <u>Financial Analysts Journal</u> , February 1998, Vol. 54, Issue 1.
	1E	LAMONICA, "The Best and Worst: Bloomberg's Second Annual Analysts Survey, and the Top Analysts Top Picks", <u>Financial World</u> , 30 January 1996, Vol. 165, Issue 2.
	1F	http://interactive.wsj.com/public/current/summaries/best00.htm (1/5/01)
	1G	http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm (1/5/01)
	1H	http://interactive.wsj.com/public/current/articles/SB963945742428637569.htm (1/5/01)
	1I	http://interactive.wsj.com/public/current/articles/SB963945478117361937.htm (1/5/01)
	1J	http://interactive.wsj.com/public/current/articles/SB963944657420928118.htm (1/5/01)
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	1O	https://www.investars.com/home.asp , printed 3/26/01, 5 pages.
	1P	"I/B/E/S Active Express", I/B/E/S International Inc., 1999, 2 pages.
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2M	Lawrence D. BROWN <i>et al.</i> , "The Impact of Annual Earnings Announcements on Convergence of Beliefs", <u>The Accounting Review</u> , Vol. 67, No. 4, October 1992, pages 862-875.

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	3C	Leonard C. SOFFER <i>et al.</i> , "Post-Earnings Announcement Drift and the Dissemination of Predictable Information", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 16, No. 2, Summer 1999, pages 305-331.
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	3K	Mark E. ZMIJEWSKI, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research' by L. Brown", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 337-342.

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4A	Lawrence D. BROWN, "Reply to Commentaries on "Earnings Forecasting Research: Its Implications for Capital Markets Research", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 343-344.
4B	Lawrence D. BROWN, "A Test of the Reliability of Current Cost Disclosures", <u>ABACUS - A Journal of Accounting, Finance and Business Studies</u> , Vol. 30, No. 1, March 1994, pages 2-17.
4C	Lawrence D. BROWN, "The Impact of Announcement Timing on the Informativeness of Earnings and Dividends", <u>Journal of Accounting, Auditing & Finance</u> , Vol. 9, No. 4, Fall 1994, pages 653-674.
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4K	Lawrence D. BROWN, "Can ESP Yield Abnormal Returns?", <u>The Journal of Portfolio Management</u> , Vol. 23, No. 4, Summer 1997, pages 36-43.
4L	Lawrence D. BROWN <i>et al.</i> , "Do Stock Prices Fully Reflect the Implications of Current Earnings for Future Earnings for ARI Firms?", <u>Journal of Accounting Research</u> , Vol. 38, No. 1, Spring 2000, pages 149-164.

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5A	Lawrence D. BROWN <i>et al.</i> , "The Association Between Nonearnings Disclosures by Small Firms and Positive Abnormal Returns", <u>The Accounting Review</u> , Vol. 68, No. 3, July 1993, pages 668-680.
5B	Lawrence D. BROWN <i>et al.</i> , "Adaptive Expectations, Time-Series Models, and Analysis Forecast Revision", <u>Journal of Accounting Research</u> , Vol. 17, No. 2, Autumn 1979, pages 341-351.
5C	Lawrence D. BROWN <i>et al.</i> , "Does the FASB Listen to Corporations?", <u>Journal of Business Finance & Accounting</u> , Vol. 19, No. 5, September 1992, pages 715-731.
5D	Lawrence D. BROWN <i>et al.</i> , "Using Citation Analysis to Assess the Impact of Journals and Articles on Contemporary Accounting Research (CAR)", <u>Journal of Accounting Research</u> , Vol. 23, No. 1, Spring 1985, pages 84-109.
5E	Kaushik I. AMIN <i>et al.</i> , "Option Trading, Price Discovery, and Earnings News Dissemination", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 14, No. 2, Summer 1997, pages 153-192.
5F	Charles M. C. LEE <i>et al.</i> , "Investor Sentiment and the Closed-End Fund Puzzle", <u>The Journal of Finance</u> , Vol. XLVI, No. 1, March 1991, pages 75-109.
5G	Carolyn M. CALLAHAN <i>et al.</i> , "Accounting Information and Bid-Ask Spreads", <u>Accounting Horizons</u> , Vol. 11, No. 4, December 1997, pages 50-60.
5H	Charles M. C. LEE, "Accounting-Based Valuation: Impact on Business Practices and Research", <u>Accounting Horizons</u> , Vol. 13, No. 4, December 1999, pages 413-425.
5I	Richard FRANKEL <i>et al.</i> , "Accounting Valuation, Market Expectation, and Cross-Sectional Stock Returns", <u>Journal of Accounting and Economics</u> , Vol. 25, No. 3, June 1998, pages 283-319.
5J	Ronald KING <i>et al.</i> , "Corporate Disclosure and Price Discovery Associated with NYSE Temporary Trading Halts", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 8, No. 2, Spring 1992, pages 509-531.
5K	Charles M. C. LEE, "Discussion of "Corporate Disclosure and Price Discovery Associated with NYSE Temporary Trading Halts", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 8, No. 2, Spring 1992, pages 532-539.
5L	Charles M. C. LEE, "Measuring Wealth", <u>CA Magazine</u> , April 1996, pages 32-37.
5M	Charles M. C. LEE <i>et al.</i> , "Inferring Trade Direction from Intraday Data", <u>The Journal of Finance</u> , Vol. XLVI, No. 2, June 1991, pages 733-746.

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6A	Charles M. C. LEE <i>et al.</i> , "Price Momentum and Trading Volume", <u>The Journal of Finance</u> , Vol. LV, No. 5, October 2000, pages 2017-2069.
6B	Charles M. C. LEE <i>et al.</i> , "Valuing the Dow: A Bottom-Up Approach", <u>Financial Analysts Journal</u> , Vol. 55, No. 5, September/October 1999, pages 4-23.
6C	Charles M. C. LEE, "Earnings News and Small Traders", <u>Journal of Accounting and Economics</u> , Vol. 15, No. 2/3, June/September 1992, pages 265-302.
6D	Terry D. WARFIELD <i>et al.</i> , "Response to the FASB Exposure Draft, "Proposed Statement of Financial Accounting Standards—Accounting for Transfers and Servicing of Financial Assets and Extinguishment of Liabilities", <u>Accounting Horizons</u> , Vol. 10, No. 3, September 1996, pages 178-181.
6E	Terry D. WARFIELD <i>et al.</i> , "Response to the FASB Exposure Draft, "Proposed Statement of Financial Accounting Standards—Accounting for Certain Liabilities Related to Closure or Removal of Long-Lived Assets", <u>Accounting Horizons</u> , Vol. 10, No. 4, December 1996, pages 137-141.
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6J	www.findarticles.com/m4PRN/1999_Oct_14/56284107/pl/article.html , printed February 5, 2001, 2 pages.
6K	http://my.zacks.com/?ALERT=www.zacks.com , printed February 2, 2001, 6 pages.
6L	http://www.cianet.com/ , printed February 5, 2001, 14 pages.
6M	http://www.factset.com/ , printed February 5, 2001, 10 pages.
6N	http://www.iexchange.com/ , printed February 5, 2001, 50 pages.
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6P	http://www.bulldogresearch.com/default.asp , printed February 5, 2001, 28 pages.

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	7A	Lawrence D. BROWN, "Predicting Individual Analyst Earnings Forecast Accuracy", September 29, 1999, pages 1-60.

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